

FORM BE-15 Supplement C

(REV. 12/2001)

U.S. DEPARTMENT OF COMMERCE
BUREAU OF ECONOMIC ANALYSIS

ANNUAL SURVEY
OF FOREIGN DIRECT
INVESTMENT IN THE
UNITED STATES – 2001

CLAIM FOR EXEMPTION FROM FILING A
BE-15(LF) OR BE-15(SF)

MAIL
REPORTS
TO

U.S. Department of Commerce
Bureau of Economic Analysis
BE-49(A)
Washington, DC 20230

DELIVER
REPORTS
TO

U.S. Department of Commerce
Bureau of Economic Analysis
BE-49(A)
Shipping and Receiving
Section M100
1441 L Street, NW
Washington, DC 20005

File a single original copy of this report with the Bureau of Economic Analysis; this should be the copy with the address label, if such a labeled copy has been provided.

INSTRUCTIONS

Response required — The publication in the Federal Register of the notice implementing this survey is considered legal notice to covered U.S. business enterprises of their obligation to report. Therefore, a response is required for each U.S. business enterprise that was a U.S. affiliate of a foreign person at the end of the business enterprise’s fiscal year that ended in calendar year 2001. Also, a person or their agent, contacted by BEA concerning their being subject to reporting, either by sending them a report form or by written inquiry, must respond in writing pursuant to Section 806.4 of 15 CFR, Chapter VIII. A response is defined as completion and return of Form BE-15(LF), or Form BE-15(SF) , if applicable, by May 31, 2002, or of this Form BE-15 Supplement C within 30 days of its receipt, if the U.S. business enterprise is exempt from filing.

A U.S. affiliate is a U.S. business enterprise in which one foreign person owned or controlled, directly or indirectly, 10 percent or more of the voting securities if an incorporated U.S. business enterprise, or an equivalent interest if an unincorporated U.S. business enterprise. *See **Instructions** (attached to Forms BE-15(LF) and BE-15(SF)) for reporting requirements (Section I) and for definitions of affiliate and U.S. affiliate (Section II, J and K).*

Consolidated reporting — A U.S. affiliate shall file on a fully consolidated domestic (U.S.) basis, including in the full consolidation all other U.S. affiliates in which it directly or indirectly owns more than 50 percent of the outstanding voting securities.The fully consolidated entity is considered to be one U.S. affiliate. See **Instructions, III.D.** of BE-15(LF) or BE-15(SF). Reporting criteria are applied to the consolidated entity.

Aggregation of real estate investments — Aggregate all real estate investments of a foreign person for the purpose of applying the reporting criteria. Use a single report form to report the aggregate holdings, unless BEA has granted permission to do otherwise. Those holdings not aggregated must be reported separately.

Fiscal year — The U.S. affiliate’s 2001 fiscal year is defined as the affiliate’s financial reporting year that ended in calendar year 2001.

Assistance — Telephone (202) 606–5577 during office hours – 8:30 a.m. to 4:30 p.m. eastern time.

NOTE — 18 U.S.C. 1001 (Crimes and Criminal Procedure) makes it a criminal offense to make a willfully false statement or representation to any department or agency of the United States as to any matter within its jurisdiction. Any officer, director, employee, or agent of any corporation who knowingly participates in a willful failure to report, upon conviction, may be punished by a fine, imprisonment, or both (22 U.S.C. 3105).

BEA USE ONLY	Control number						
Public reporting burden for this claim for exemption is estimated to vary from 15 to 45 minutes per response, with an average of 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Director, Bureau of Economic Analysis (BE-1), U.S. Department of Commerce, Washington, DC 20230, and to the Office of Management and Budget, Paperwork Reduction Project 0608-0034, Washington, DC 20503.							
MANDATORY — This survey is being conducted pursuant to the International Investment and Trade in Services Survey Act (P.L. 94-472, 90 Stat. 2059, 22 U.S.C. 3101-3108, as amended – hereinafter "the Act"), and the filing of reports is mandatory pursuant to Section 5(b)(2) of the Act (22 U.S.C. 3104).							
CONFIDENTIALITY — The Act provides that your report to this Bureau is CONFIDENTIAL and may be used only for analytical or statistical purposes. Without your prior written permission, the information filed in your report CANNOT be presented in a manner that allows it to be individually identified. Your report CANNOT be used for purposes of taxation, investigation, or regulation. Copies retained in your files are immune from legal process.							
IDENTIFICATION OF U.S. AFFILIATE							
A. Name and address of U.S. business enterprise for which this claim is filed – If the business enterprise received a prelabeled Form BE-15(LF), or BE-15(SF), enter in the blocks below the name, address, and BEA Identification Number from the label affixed to Part 1, item 1, of that form; skip a single block between words. If a prelabeled form was not received, enter name and address as contained on letter transmitting the report forms to you, indicating any changes or corrections.							
Name of U.S. affiliate							
1002	1						
c/o (care of)							
1010	1						
Street or P.O. Box							
1003	1						
City, State, and Country <i>(if foreign)</i>							
1004	1						
U.S. ZIP Code Foreign Postal Code							
1005	1					2	
OR							
B. Enter Employer Identification Number(s) used by the U.S. business enterprise to file income and payroll taxes.							
Primary Other							
1006	1					2	

Complete item 1 or item 2 (on back), whichever is applicable.

1.

☐

This U.S. business enterprise was a U.S. affiliate of a foreign person at the end of its fiscal year that ended in calendar year 2001, but is exempt from filing a Form BE-15(LF), or BE-15(SF), because, on a fully consolidated, or in the case of real estate investments, an aggregated basis, each of the following three items for the U.S. affiliate (not the foreign parent’s share) did not exceed \$30 million (positive or negative) at the end of, or for, its fiscal year that ended in calendar year 2001:

a. Total assets (do not net out liabilities)

b. Sales or gross operating revenues, excluding sales taxes, and

c. Net income after provision for U.S. income taxes.

Enter value or amount for each of the following three items.

Total assets at close of FY 2001 — <i>Do not net out liabilities.</i>	2109	\$			
Sales or gross operating revenues for FY 2001, excluding sales taxes — <i>Do not give gross margin.</i>	2149				
Net income for FY 2001, after provision for U.S. income taxes	2159				

Also complete the following.

Country of foreign parent

3016

1

Country of ultimate beneficial owner — *See **Instructions, II.Q.** of BE-15(LF) or BE-15(SF).*

3022

1

If item 1 is marked — *No Form BE-15(LF) or BE-15(SF) must be filed at this time. However, this Form BE-15 Supplement C, including the certification below, must be filed within 30 days of the date it was received.*

If this claim for exemption is disallowed, the original due date of the BE-15 remains in force.

PERSON TO CONSULT CONCERNING QUESTIONS ABOUT THIS REPORT — Enter name and address						CERTIFICATION — The undersigned official certifies that this report has been prepared in accordance with the applicable instructions, is complete, and is substantially accurate except that, in accordance with III.K. of the BE-15(LF) or BE-15(SF) Instructions , estimates have been provided where data are not available from customary accounting records or precise data could not be obtained without undue burden.	
Name 1000						Authorized official’s signature	
Address							
TELEPHONE NUMBER 1001							
1						Area code 2	
						Number 3	
						Extension	
FAX NUMBER						Print or type name and title	
4						Area code 5	
						Number	
E-MAIL ADDRESS						Date	

PLEASE CONTINUE ON REVERSE SIDE

2. This U.S. business enterprise is exempt from filing a Form BE-15(LF) or BE-15(SF), because:

(a) ☐ This U.S. business enterprise was not a U.S. affiliate of a foreign person at any time during calendar year 2001 but had been a U.S. affiliate of a foreign person at some time during calendar year 2000.

Give date foreign ownership ceased or went below 10 percent.

		Month		Day		Year			
7010	1								

(b) ☐ This U.S. business enterprise was a U.S. affiliate of a foreign person during its fiscal year that ended in calendar year 2001 but is fully consolidated into the BE-15 report for another U.S. affiliate — *In the blocks below, give name, address, and BEA Identification Number of the consolidated U.S. affiliate that is reporting to BEA (skip a single block between words):*

Name

[illegible]

Street or P.O. Box

[illegible]

City and State

ZIP Code

[illegible]

BEA Identification Number

7011	1					
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(c) ☐ This U.S. business enterprise was a U.S. affiliate of a foreign person at some time during calendar year 2001, but ceased to be a U.S. affiliate before the end of its fiscal year that ended in calendar year 2001.

Give date foreign ownership ceased or went below 10 percent.

		Month	Day	Year		
7012	1					

(d) ☐ This U.S. business enterprise is a U.S. affiliate of a foreign person, but it became a U.S. affiliate after the end of its fiscal year 2001. *Complete items (1) and (2) below.*

(1) Give date when the U.S. business enterprise became a U.S. affiliate of a foreign person, and

	Month		Day		Year		
7013	1						

Note that a Form BE-13 should have been filed to reflect the acquisition.

(2) Give the ending date of the U.S. business enterprise's fiscal year that ended in calendar year 2001. See **Instructions, III.A.** of BE-15(LF) or BE-15(SF).

		Month		Day		Year			
7014	1								

(e) ☐ Other – Specify and include reference to section of regulations or instructions on which claim is based.

If item 2(a), (b), (c), (d) or (e), is marked — *No Form BE-15(LF), or BE-15(SF), must be filed at this time. However, this Form BE-15 Supplement C, including the certification at the bottom of page 1, must be filed within 30 days of the date it was received.*

If this claim for exemption is disallowed, the original due date of the BE-15 remains in force.

Remarks